



DEPARTMENT OF THE ARMY  
HEADQUARTERS, U.S. ARMY MATERIEL COMMAND  
5001 EISENHOWER AVENUE, ALEXANDRIA, VA 22333 - 0001

23 FEB 1999

REPLY TO  
ATTENTION OF

AMCPE-CE

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: The Office of Personnel Management's Final Rules on Performance Ratings

1. For your convenience, this office has prepared a "quick" reference summarizing pertinent portions of the final rules regarding performance ratings. The rules were extracted from the Federal Register, Volume 63, Number 192, 5 October 1998. These rules codify OPM's longstanding policy regarding retroactive, assumed, and carryover ratings of record and are briefly explained as follows:

a. That ratings of record cannot be unilaterally changed and are final upon issuance, unless successfully challenged as the result of a grievance, settlement procedure, alternative dispute resolution or other formal proceedings, or the activity determines that the rating of record was incorrectly recorded or calculated.

b. That retroactive, assumed, and carryover ratings of record are prohibited. All ratings must be based solely on the assessment of actual work performed during a designated appraisal period. Assumed and retroactive ratings are not permitted and cannot be provided to cover past, unrated periods, and no rating can ever cover more than one rating period.

2. The point of contact for this action is Teresa Greene, DSN 767-3408 or (703) 617-3408.

3. AMC -- America's Arsenal for the Brave.

FOR THE COMMANDER:

Encl

MELINDA McMILLON DARBY  
Deputy Chief of Staff  
for Personnel

DISTRIBUTION:

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**THE OFFICE OF PERSONNEL MANAGEMENT'S  
RULES ON PERFORMANCE RATINGS**

The following quoted prohibitions on performance ratings have been established in the Federal Register, Vol 63, Number 192, 5 Oct 98:

1. A rating of record shall be based only on the evaluation of actual job performance for the designated appraisal period.
2. An agency shall not issue a rating of record which assumes a level of performance by an employee without an actual evaluation of that employee's performance.
3. Except as provided in Sec. 430.208 (i), a rating of record is final when it is issued to an employee with all appropriate reviews and signatures.
4. Each rating of record shall cover a specified appraisal period. Agencies shall not carryover a rating of record prepared for a previous appraisal period as the rating of record for a subsequent appraisal period(s) without an actual evaluation of the employee's performance during the subsequent appraisal period.
5. When either a regular appraisal period or an extended appraisal period ends and any agency-established deadline for providing ratings of record passes or a subsequent rating of record is issued, an agency shall not produce or retroactively change a rating of record which covers that earlier appraisal period, except that a rating of record may be changed:
  - a. Within 60 days of issuance based upon an informal request by the employee;
  - b. As a result of a grievance, complaint, or other formal proceeding permitted by law or regulation which results in a final determination by appropriate authority that the rating of record must be changed, or as part of a bona fide settlement of a formal proceeding or;
  - c. Where the agency determines that a rating of record was incorrectly recorded or calculated.
6. Please share this information with managers, supervisors and employees.

ENCLOSURE